

SUBSTITUTE FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		14952.0307
		U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/510482</b>
INTERNATIONAL APPLICATION NO. PCT/US2003/010822	INTERNATIONAL FILING DATE April 9, 2003	PRIORITY DATE CLAIMED April 9, 2002
TITLE OF INVENTION CARBON NANOPARTICLES AND COMPOSITE PARTICLES AND PROCESS OF MANUFACTURE		
APPLICANT(S) FOR DO/EO/US Yet-Ming Chiang, John B. Vander Sande		


Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:  
International Search Report (4 pages)

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PCT/US2003/010822				14952.0307	
21. <input checked="" type="checkbox"/> The following fees are submitted: <b>Basic National Fee ( 37 CFR 1.492 (a) (1) - (5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1110.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$950.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$790.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$750.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b>  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS PTO USE ONLY</b>	
				<b>\$790.00</b>	
Surcharge of <b>\$130</b> for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$130.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	61 - 20 =	41	x \$18	\$738.00	
Independent Claims	8 - 3 =	5	x \$88	\$440.00	
MULTIPLE DEPENDENT CLAIMS(S) (if applicable)			+ \$300	\$300.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$2398.00</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$1199.00</b>	
<b>SUBTOTAL =</b>				<b>\$1199.00</b>	
Processing fee of <b>\$130</b> for furnishing the English Translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f))				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$1199.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$1199.00</b>	
				<b>Amount to be refunded:</b>	<b>\$</b>
				<b>charged:</b>	<b>\$</b>
a. <input checked="" type="checkbox"/> A check in the amount of <b>\$1199.00</b> to cover the above fees is enclosed.  b. <input type="checkbox"/> Please charge my Deposit Account No. 19-4293 in the amount of \$0.00 to cover the above fees. A duplicate copy of this sheet is enclosed.  c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No 19-4293. A duplicate copy of this sheet is enclosed.  <b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a)            or (b) must be filed and granted to restore the application to pending status.</b>  <b>SEND ALL CORRESPONDENCE TO:</b>  <b>CUSTOMER NUMBER: 27890</b>  <b>STEPTOE &amp; JOHNSON LLP</b> Attn: Docket Administrator - Box USPTO 1330 Connecticut Avenue, NW. Washington, DC 20036  Tel. (202) 429-3000 Fax (202) 429-3902					
				<b>SIGNATURE</b>	
				<b>NAME</b>	Harold H. Fox
				<b>REGISTRATION NUMBER</b>	41,498